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## SEARCH REQUEST FORM

Scientific and Technical Information Center

(119)

2164

Requester's Full Name: Charles Kyle Examiner #: 72313 Date: 4/24/02  
Art Unit: 3624 Phone Number 105-4458 Serial Number: 091 434645  
Mail Box and Bldg/Room Location: PK2 Results Format Preferred (circle):  PAPER  DISK  E-MAIL  
5B5D

If more than one search is submitted, please prioritize searches in order of need.

Please provide a detailed statement of the search topic, and describe as specifically as possible the subject matter to be searched. Include the elected species or structures, keywords, synonyms, acronyms, and registry numbers, and combine with the concept or utility of the invention. Define any terms that may have a special meaning. Give examples or relevant citations, authors, etc, if known. Please attach a copy of the cover sheet, pertinent claims, and abstract.

Title of Invention: Method, System & Computer Program for Auditing Financial Plan  
Inventors (please provide full names): David B. Looper

Earliest Priority Filing Date: 11/5/99

\*For Sequence Searches Only\* Please include all pertinent information (parent, child, divisional, or issued patent numbers) along with the appropriate serial number.

I need information on a method of evaluating the value of a particular financial plan by applying real historical ~~needed~~ financial data to the plan for multiple years to see how the plan would have done if the investment were made at the beginning historical date. For example, I have \$1000 to invest. I simulate the return of that \$1000 from, say, 1932-1933. Stake that result at the end of 1933 and see how the result investment amount would have performed in 1933-1934. This can be done for successor years to get an overall view of how the investment would have grown given those historical conditions.

### STAFF USE ONLY

Searcher: David H. Hower  
Searcher Phone #: 308-7774  
Searcher Location: Ph 2 7B3  
Date Searcher Picked Up: 5-6-02  
Date Completed: 5-6-02  
Searcher Prep & Review Time: 65  
Clerical Prep Time: \_\_\_\_\_  
Online Time: 273

### Type of Search

NA Sequence (#) \_\_\_\_\_  
AA Sequence (#) \_\_\_\_\_  
Structure (#) \_\_\_\_\_  
Bibliographic \_\_\_\_\_  
Litigation   
Fulltext   
Patent Family \_\_\_\_\_  
Other \_\_\_\_\_

### Vendors and cost where applicable

STN \_\_\_\_\_  
Dialog \$14.75 %..  
Questel/Orbit \_\_\_\_\_  
Dr. Link \_\_\_\_\_  
Lexis/Nexis \_\_\_\_\_  
Sequence Systems \_\_\_\_\_  
WWW/Internet \_\_\_\_\_  
Other (specify) \_\_\_\_\_

Examiner Kyle:  
Attached please find your search results re:  
Method for auditing financial plans... serial #09434645.

Please let me know if you would like to try a different strategy  
or additional terminology in a refocused search.

David Holloway  
308-7794

Set Items Description  
S1 823356 (STOCK? ? OR SECURIT? OR COMMODIT? OR BOND? OR INVESTMENT?  
OR PORTFOLIO? OR FUND? OR FINANCIAL() (PLAN? ? OR INSTRUMENT?) -  
) (3N) (FORECAST? OR MODEL? OR EXTRAPOLAT? OR SIMULAT? OR PLAN -  
OR PLANNING OR PREDICT? OR PROJECT?)  
S2 15774 S1(5N) (PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER? OR EARL-  
IER? OR LAST()YEAR? OR OLD)  
S3 8776 S2(S) (INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N) TIM-  
E? OR YEAR? OR MONTH?)  
S4 1425 S3(S) (NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? -  
OR REITERAT? OR FUTURE?)  
S5 556 S4(S) (RETURN? OR INCOME? OR YIELD? OR PROFIT? OR ADVANCE? -  
OR INCREASE? OR PERFORM?)  
S6 545 S5(S) (RETURN? OR YIELD? OR INCREASE? OR DECREASE? OR GAIN?  
OR LOSS? OR INCOME? OR PROFIT? OR PERFORM?)  
S7 90 S6(S) (SOFTWARE? OR PROGRAM? OR COMPUTERI? OR AUTOMATE? OR -  
CYBER? OR VIRTUAL?)  
S8 65 RD (unique items)  
S9 40 S8 NOT PY>1999  
S10 39 S9 NOT PD=19991105:20001105  
S11 39 S10 NOT PD=20001105:20020509  
File 15:ABI/Inform(R) 1971-2002/May 04  
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File 476:Financial Times Fulltext 1982-2002/May 06  
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File 634:San Jose Mercury Jun 1985-2002/May 02  
(c) 2002 San Jose Mercury News  
File 95:TEME-Technology & Management 1989-2002/APR W2  
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Set Items Description  
S1 1547600 STOCK? OR SECURIT? OR COMMODIT? OR BOND? OR INVESTMENT? OR PORTFOLIO? OR FUND? OR FINANCIAL() (SYSTEM OR PLAN? ? OR INSTRUMENT?)  
S2 4410376 FORECAST? OR MODEL? OR EXTRAPOLAT? OR RECREAT? OR SIMULAT? OR PLAN OR PLANNING OR PREDICT? OR PROJECT?  
S3 901392 PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER?  
S4 1652749 INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N)TIME? OR - YEAR? OR MONTH?  
S5 1759954 NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? OR REITERAT? OR FUTURE?  
S6 2962 S1 AND S2 AND S3 AND S4 AND S5  
S7 9528 S1 AND S2 AND S3 AND S4  
S8 3555410 RETURN? OR INCOME? OR YIELD? OR PROFIT? OR ADVANCE? OR INC- REASE? OR PERFORM?  
S9 1469273 ADVIS? OR ADVICE? OR RECOMMEND? OR TEST?  
S10 9994 S1(5N)S2 (5N)S8  
S11 90 S10(S)S3(S)S4(S)S5  
S12 14 S11 AND (SOFTWARE? OR PROGRAM? OR COMPUTERI? OR AUTOMATE? - OR ELECTRONIC? OR DIGITAL? OR VIRTUAL? OR CYBER?)  
S13 102 S6 AND S8 AND S9 AND (SOFTWARE? OR PROGRAM? OR COMPUTERI? - OR AUTOMATE? OR ELECTRONIC? OR DIGITAL? OR VIRTUAL? OR CYBER?)  
S14 7 S13 AND S10  
S15 97416 S1(5N)S2  
S16 21 S13 AND S15  
S17 11 S11 AND S9  
S18 189 S10(5N)S3  
S19 48 S18(5N)(S4 OR S5)  
S20 8 S19 AND S9  
S21 50 S12 OR S14 OR S16 OR S17 OR S20  
S22 49 RD (unique items)  
S23 42 S22 NOT PY>1999

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(c) 2002 The New York Times  
File 475:Wall Street Journal Abs 1973-2002/May 02  
(c) 2002 The New York Times

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S1 628743 STOCK? OR BOND? OR INVESTMENT? OR PORTFOLIO? OR FUND? OR F-  
INANCIAL() (SYSTEM OR PLAN? ? OR INSTRUMENT?)  
S2 958049 FORECAST? OR MODEL? OR RECREATE? OR SIMULAT? OR PREDICT? OR  
PROJECT?  
S3 412870 PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER?  
S4 383748 INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N)TIME? OR -  
YEAR? OR MONTH?  
S5 1720406 NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? OR REI-  
TERAT? OR FUTURE?  
S6 21 S1 AND S2 AND S3 AND S4 AND S5  
S7 57 S1 AND S2 AND S3 AND S4  
S8 8 S7 AND IC=G06F-017?  
S9 26 S6 OR S8  
S10 15 S9 AND IC=G06F?  
S11 15 IDPAT (sorted in duplicate/non-duplicate order)  
S12 15 IDPAT (primary/non-duplicate records only)  
File 344:CHINESE PATENTS ABS APR 1985-2002/MAR  
(c) 2002 EUROPEAN PATENT OFFICE  
File 347:JAPIO Oct/1976-2001/Dec(Updated 020401)  
(c) 2002 JPO & JAPIO  
File 350:Derwent WPIX 1963-2001/UD,UM &UP=200227  
(c) 2002 Thomson Derwent

Set Items Description  
S1 441639 STOCK? OR SECURIT? OR COMMODIT? OR BOND? OR INVESTMENT? OR PORTFOLIO? OR FUND? OR FINANCIAL() (SYSTEM OR PLAN? ? OR INSTRUMENT?)  
S2 450573 FORECAST? OR MODEL? OR EXTRAPOLAT? OR RECREAT? OR SIMULAT? OR PREDICT? OR PROJECT?  
S3 578270 PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER?  
S4 429287 INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N) TIME? OR - YEAR? OR MONTH?  
S5 957378 NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? OR REITERAT? OR FUTURE?  
S6 452 S1(S)S2(S)S3(S)S4  
S7 327 S1(S)S2(S)S3(S)S4(S)S5  
S8 5789 S1(5N)S2  
S9 155 S8(5N) (RETURN? OR PERFORMANC? OR INCOME?)  
S10 25 S9 AND (S6 OR S7)  
S11 24 S10 AND IC=G06F?  
S12 72 S7 AND S8  
S13 25 S12 AND IC=G06F-017/60  
S14 40 S11 OR S13  
S15 40 IDPAT (sorted in duplicate/non-duplicate order)  
S16 40 IDPAT (primary/non-duplicate records only)  
File 348:EUROPEAN PATENTS 1978-2002/APR W04  
(c) 2002 European Patent Office  
File 349:PCT FULLTEXT 1983-2002/UB=20020425, UT=20020418  
(c) 2002 WIPO/Univentio

Set	Items	Description
S1	7	AU="LOEPPER D B":AU="LOEPPER D J"
S2	3	S1 AND IC=G06F?
File 344:CHINESE PATENTS ABS APR 1985-2002/MAR		
		(c) 2002 EUROPEAN PATENT OFFICE
File 347:JAPIO Oct/1976-2001/Dec(Updated 020401)		
		(c) 2002 JPO & JAPIO
File 350:Derwent WPIX 1963-2001/UD,UM &UP=200227		
		(c) 2002 Thomson Derwent

S1 . 6 AU="LOEPEL DAVID B"  
S2 . 6 S1 AND IC=G06F?  
S3 . 6 IDPAT (sorted in duplicate/non-duplicate order)  
S4 . 3 IDPAT (primary/non-duplicate records only)  
File 348:EUROPEAN PATENTS 1978-2002/APR W03  
      (c) 2002 European Patent Office  
File 349:PCT FULLTEXT 1983-2002/UB=20020425,UT=20020418  
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Set	Items	Description
S1	15382	STOCK? OR SECURIT? OR COMMODIT? OR BOND? OR INVESTMENT? OR PORTFOLIO? OR FUND? OR FINANCIAL() (SYSTEM OR PLAN? ? OR INSTRUMENT?)
S2	24518	FORECAST? OR MODEL? OR EXTRAPOLAT? OR RECREAT? OR SIMULAT? OR PLAN OR PLANNING OR PREDICT? OR PROJECT?
S3	6375	PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER?
S4	10085	INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N) TIME? OR - YEAR? OR MONTH?
S5	12237	NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? OR REITERAT? OR FUTURE?
S6	25	S1 AND S2 AND S3 AND S4 AND S5
S7	90	S1 AND S2 AND S3 AND S4
S8	25649	RETURN? OR INCOME? OR YIELD? OR PROFIT? OR ADVANCE? OR INC- REASE? OR PERFORM?
S9	51	S7 AND S8
S10	600	S1(3N)S2
S11	5	S9 AND S10
S12	28	S6 OR S11
S13	17	S12 NOT PY>1999
S14	17	S13 NOT PD>19991105

File 256:SoftBase:Reviews,Companies&Prods. 85-2002/Apr  
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Set	Items	Description
S1	49392	(STOCK? ? OR SECURIT? OR COMMODIT? OR BOND? OR INVESTMENT? OR PORTFOLIO? OR FUND? OR FINANCIAL() (PLAN? ? OR INSTRUMENT?) - ) (3N) (FORECAST? OR MODEL? OR EXTRAPOLAT? OR SIMULAT? OR PLAN - OR PLANNING OR PREDICT? OR PROJECT?)
S2	865	S1(5N) (PREVIOUS? OR PAST? OR HISTORICAL? OR OLDER? OR EARL- IER? OR LAST()YEAR? OR OLD)
S3	423	S2(S) (INTERVAL? OR (LENGTH? OR DURATION? OR FRAME?) (2N) TIM- E? OR YEAR? OR MONTH?)
S4	91	S3(S) (NEXT? OR FOLLOWING? OR AGAIN? OR REPEAT? OR ITERAT? - OR REITERAT? OR FUTURE?)
S5	57	S4(S) (RETURN? OR INCOME? OR YIELD? OR PROFIT? OR ADVANCE? - OR INCREASE? OR PERFORM?)
S6	52	RD (unique items)
S7	33	S6 NOT PY>1999
S8	32	S7 NOT PD=19991105:20001105

File 625:American Banker Publications 1981-2002/May 02  
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File 268:Banking Info Source 1981-2002/Apr W4  
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File 626:Bond Buyer Full Text 1981-2002/Apr 30  
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File 267:Finance & Banking Newsletters 2002/May 01  
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